

United States Court of Appeals For the First Circuit

05-10074
USDC/MA
Lasker, M.

No. 06-1571

SECURITIES AND EXCHANGE COMMISSION,

Plaintiff, Appellee,

v.

PATRICIA B. ROCKLAGE; WILLIAM M. BEAVER; DAVID G. JONES,

Defendants, Appellants.

MANDATE

JUDGMENT

Entered: November 14, 2006

FILED IN CLERKS OFFICE
US COURT OF APPEALS
FOR THE FIRST CIRCUIT
2006 NOV 14 P 3:08

This cause came on to be heard on appeal from the United States District Court for the District of Massachusetts and was argued by counsel.

Upon consideration whereof, it is now here ordered, adjudged and decreed as follows: The decision of the district court is affirmed, and the case is remanded to the district court for further proceedings consistent with the opinion issued this day. Costs are awarded to the Securities and Exchange Commission.

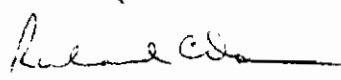
**Certified and Issued as Mandate
under Fed. R. App. P. 41.**

Richard Cushing Donovan, Clerk


Deputy Clerk

Date: 1/5/07

By the Court:


Richard Cushing Donovan, Clerk

[Certified copies to Hon. Morris E. Lasker and Ms. Sarah A. Thornton, Clerk, United States District Court for the District of Massachusetts. Copies to Mr. Barry, Mr. Cadigan, Mr. Quinn, Mr. Cartwright, Mr. Tao, Mr. Stillman, Mr. Stevenson, Mr. Erichsen, Mr. Spaeth, Mr. Shah, Mr. Hahn, Mr. Marder, & Mr. Whiteley.]